

titioner's Docket No. 02165PCT

2891/DW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Masakazu KOBAYASHI;

Nippoń Shokubai Co., Ltd.

Serial No.: 10/525,848 Filed: February 22, 2005

For: Compound Semiconductor Particles and Production Process

Therefor

Examiner:

Group No.: 2812

Confirmation No.: 9572

Mail Stop Amendment Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Certificate of Mailing

I hereby certify that the following documents are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on November 6, 2006 by applicant's attorney, Robert J. Jacobson:

- 1. This Certificate of Mailing dated November 6, 2006 (one page);
- 2. Information Disclosure Statement dated November 6, 2006 (two pages);
- 3. PTO-1449 forms (two);
- 4. EPO Communication dated September 27, 2006 (three pages total);
- 5. References listed on PTO-1449 forms plus an English abstract for reference "b;" and

6. Postcard receipt.

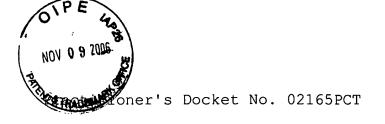
Respectfully submitted,

Date: 11-06-06

Robert J. Jacobson Reg. No. 32,419

Tel. No.: (651) 699-7900 Fax. No.: (651) 699-7901

650 Brimhall Street South St. Paul, MN 55116-1511



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Information Disclosure Statement

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, applicant hereby submits the reference(s) listed on the attached Form(s) 1449 (or equivalent) such that said reference(s) may be considered and made of record. A copy of each of the cited reference(s) is enclosed. No representation is made that any of the listed reference(s) is prior art pursuant to 35 U.S.C. § 102 and/or 35 U.S.C. § 103.

This Information Disclosure Statement is being filed in accordance with the following provision(s):

{18924.DOC}

I hereby certify that this correspondence and the documents referred to as enclosed therein are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA, 22313-1450, on November 6, 2006 by applicant's attorney Robert J. Jacobson.

Robert J. Jacobson, Reg. No. 32,419

(Information Disclosure Statement-page 1 of 2)

37 CFR 1.97(b)(3) Before the mailing date of a first Office Action on the merits. No fee is required.

 $\overline{37}$ CFR 1.97(c) After (if applicable, such as where an Office Action and this IDS cross in the mail) the periods specified in 37 CFR 1.97(b), but before the mailing date of either: (1) a final action under § 1.113 or (2) a notice of allowance under § 1.311, whichever occurs first. Accordingly:

The undersigned hereby certifies that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

37 CFR 1.98(a)(3)(i) A concise explanation of the relevance as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information, of each patent, publication, or other information listed that is not in the English language. The following references are being submitted under this provision with an English abstract:

c. JP 1-161064 (having Chemical Abstract attached).

For the information of The Patent Office, please find further enclosed an EPO Communication (document "a") dated September 27, 2006 (three pages total) including a Supplementary European Search Report and an Annex to the European Search Report. The European Search Report cites certain references, and these references are listed on the PTO-1449 form(s).

Respectfully submitted,

Date: <u>//-06</u>-06

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PTO/SB/08a (08-03)

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Substitu	ite for form 1449A/PT(· /	(Agy)	Complete if Known		
			CLOSURE)	Application Number	10/525,848	
INF	ORMATION	DK	SCLOSURE W	Filing Date	09/09/2005	
STA	TEMENT B	YÀ	PLICANT	First Named Inventor	Masakazu KOBAYASHI	
	•		RADIDAN	Art Unit	2812	
	(use as many she	ets as	s necess ary)	Examiner Name		
Sheet	one	of	two	Attorney Docket Number	02165PCT	

Sheet

	U.S. PATENT DOCUMENTS								
Examiner Initials	Cite No.1	Document Number Pumber Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear				
	·c	US- 6,153,123	11-28-2000	Hampden-Smith et al.					
	e	US- 2,971,859	02-14-1961	Sisneros et al.					
	f	US- 2,885,366	05-05-1959	Iler					
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	FOREIGN PATENT DOCUMENTS									
	Cite No.1	Foreign Patent Document Office ³ Number ⁴ Kind ⁵			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant			
IIIIIais	NO.		(if known)		141141-55-1111		Figures Appear	T ₆		
	b	JP	1-161064	Α	06-23-1989	Mitsubishi Metal Corp.				
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Examiner		Date	
Signature		Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO				Complete if Known			
		Application Number	10/525,848				
INFO	PRMATIC	ON DIS	CLOSURE	Filing Date	09/09/2005		
STATEMENT BY APPLICANT				First Named Inventor	Masakazu KOBAYASHI		
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	(use as man	y sheets as	necessary)	Examiner Name			
Sheet	two	of	two	Attorney Docket Number	02165PCT		

OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²				
	d	CORREA-DUARTE et al., Stabilization of CdS semiconductor nanoparticles against photodegradation by a silica coating procedure, Chemical Physics Letters, April 17, 1998, pp 497-501, vol. 286, Elsevier Science B.V., Amsterdam					
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Examiner Signature		Date Considered	\bigcup				

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not

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